



Attorney Docket No. USRA SWCNT - VI

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PATENT

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Mark S.F. Clarke, et al.

Serial No.: 09/932,986

Examiner: LISH, Peter J.

Filed: August 21, 2001

Art Unit: 1754

For: Production of Stable Aqueous Dispersions of Carbon Nanotubes

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97(c)**

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56,
Applicant(s) hereby submits the following information in conformance with 37 C.F.R.
§§1.97 and 1.98.

- Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached Form PTO/SB/08A is enclosed.
- No copies of the publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. _____ to which the above-identified application claims priority under 35 U.S.C. §120.
- Publication(s) _____ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to _____ application serial no. _____ and mailed on _____.
- Enclosed is a copy of a non-English publication(s) _____. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- Enclosed is a copy of a non-English publication(s) _____. English language publication _____ (copy enclosed) claims priority from this non-English publication.

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- Enclosed is an explanation of non-English publication(s) _____ for which an English translation is not available.
- Enclosed is are English translation Abstracts of non-English patent documents cited in the attached Form PTO/SB/08A.
- Enclosed is a copy of pending patent Application Serial No. _____.

This Information Disclosure Statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing of:

- a final action under 37 C.F.R. §1.113;
- a notice of allowance under 37 C.F.R. §1.311; or
- an action that otherwise closes prosecution in this application.

In accordance with 37 C.F.R. §1.97(c) also enclosed is:

- Fee under 37 C.F.R. §1.17(p) in the amount of \$180.00; or
- Statement as specified in 37 C.F.R. §1.97(e):
 - Each item of information contained in the Information Disclosure Statement cited herein was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of the Information Disclosure Statement; or
 - No item of information contained in the Information Disclosure Statement submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, having made a reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing date of the Information Disclosure Statement.

It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

Dated: August 12, 2003

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(301) 424-3640

By:

Respectfully submitted by
EDELL, SHAPIRO & FINNAN, LLC


Andrew J. Aldag
Reg. No. 40,483



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PTO/SB/08A (08-00)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				<i>Complete if Known</i>	
Substitute for form 1449A/PTO		Application Number	09/932,986		
		Filing Date	August 21, 2001		
		First Named Inventor	Mark S.F. Clarke		
		Group Art Unit	1754		
		Examiner Name	Lish, P.		
Sheet	1	of	2	Attorney Docket Number	USRA-SWCNT-VI

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)			
		CN	1335257	A	Chengdu Organic Chemistry Institute of the Chinese Academy of Sciences	02/13/02	Abstract
		RU	2 086 503	C1	Petrik	08/10/97	Abstract
		RU	2 085 484	C1	Petrik	07/27/97	Abstract
		RU	2 133 727	C1	Institute for Petrochemistry and Catalysis with Pilot Plant	07/27/99	Abstract
		KR	2001-0049546		Iljin Nanotech Co., Ltd.	06/15/01	Abstract
		KR	2001-0049398		Iljin Nanotech Co., Ltd.	06/15/01	Abstract
		KR	2001-0049453		Iljin Nanotech Co., Ltd.	06/15/01	Abstract
		WO	02/016257	A3	William Marsh Rice University	02/28/02	Abstract

Examiner Signature		Date Considered	
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***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number.

² See attached Kinds of U.S. Patent Documents.

³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.

⁶ Applicant is to place a check mark here if English language Translation is attached.



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AUG 12 2003

PTO/SB/08A (08-00)

<p>Substitute for form 1449B/PTO</p> <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p><i>(use as many sheets as necessary)</i></p>				<i>Complete if Known</i>	
Application Number		09/932,986			
Filing Date		August 21, 2001			
First Named Inventor		Mark S.F. Clarke			
Group Art Unit		1754			
Examiner Name		Lish, P.			
Sheet	2	of	2	Attorney Docket Number	
				USRA-SWCNT-VI	

Examiner Signature		Date Considered	
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***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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² Applicant is to place a check mark here if English language Translation attached.